

# PHA Plans – Santa Cruz

5 Year Plan for Fiscal Years 2000 - 2004

Annual Plan for Fiscal Year 2003

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN  
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

PHA Plan  
**Agency Identification**

**PHA Name:** Housing Authority of the County of Santa Cruz

**PHA Number:** CA072

**PHA Fiscal Year Beginning:** 07/2003

**Public Access to Information**

**Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)**

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices

**Display Locations For PHA Plans and Supporting Documents**

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices
- ☒ Main administrative office of the local government *City of Watsonville*
- ☒ Main administrative office of the County government
- ☐ Main administrative office of the State government
- ☒ Public library *Santa Cruz and Watsonville*
- ☒ PHA website
- ☐ Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- ☒ Main business office of the PHA
- ☐ PHA development management offices
- ☒ Other (list below)
  - Main administrative office of the City of Watsonville*
  - Main administrative office of the County of Santa Cruz*
  - Public library, Santa Cruz and Watsonville*

**5-YEAR PLAN**  
**PHA FISCAL YEARS 2000 - 2004**  
[24 CFR Part 903.5]

***The following 5-year plan was adopted on March 29, 2000. It is unchanged from date of adoption.***

**A. Mission**

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- ☒ The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- ☐ The PHA's mission is: (state mission here)

**B. Goals**

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

**HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.**

- ☒ PHA Goal: Expand the supply of assisted housing  
Objectives:
- ☒ Apply for additional rental vouchers: ***The Housing Authority policy has been, and continues to be, to apply for additional Section 8 rental assistance whenever funding is available.***
- ☒ Reduce public housing vacancies: ***The Housing Authority vacate and turnover rate has consistently been less than 3% which is the standard by which HUD judges high performing agencies. The Housing Authority's objective is to maintain existing vacancy rate of less than 3%.***
- ☐ Leverage private or other public funds to create additional housing opportunities:
- ☐ Acquire or build units or developments
- ☐ Other (list below)

- ☒ PHA Goal: Improve the quality of assisted housing  
Objectives:
- ☒ Improve public housing management: (PHAS score): *For the past two years the Housing Authority has been judged by HUD to be a High Performing Housing Authority. The Housing Authority's objective is to maintain its High Performer status.*
  - ☒ Improve voucher management: (SEMAP score): *HUD will monitor the Housing Authority's management of the Section 8 Voucher Program through the Section 8 Management Assessment Program (SEMAP). The Housing Authority's objective is to achieve high performer scores.*
  - ☒ Increase customer satisfaction: *The Housing Authority provides comment cards to both Section 8 and Public Housing tenants. Comments received are analyzed on an annual basis for suggestions on how to increase customer satisfaction. Comments have led to changes in annual eligibility renewal processes and choice of improvements made to Public Housing units.*
  - ☐ Concentrate on efforts to improve specific management functions:  
(list; e.g., public housing finance; voucher unit inspections)
  - ☒ Renovate or modernize public housing units: *Public Housing units within Santa Cruz County are approaching twenty years old. Within the past four years, the Housing Authority has received its first allocation of Capital Funds which has enabled the Housing Authority to begin renovation and modernization of Public Housing units. To the extent funds are made available, Public Housing units are modernized upon vacate.*
  - ☐ Demolish or dispose of obsolete public housing:
  - ☐ Provide replacement public housing:
  - ☒ Provide replacement vouchers: *Replacement vouchers will be made available when needed and when allocated by HUD.*
  - ☐ Other: (list below)
- ☒ PHA Goal: Increase assisted housing choices  
Objectives:
- ☒ Provide voucher mobility counseling: *All Housing Choice Voucher recipients are provided with voucher mobility counseling by the Housing Authority, and at any time thereafter when they are in need of such counseling*
  - ☒ Conduct outreach efforts to potential voucher landlords: *The Housing Authority places quarterly newspaper ads; sends annual mailings to property management agencies; and conducts landlord briefings for the purpose of outreaching to potential voucher landlords.*
  - ☒ Increase voucher payment standards: *On an annual basis, the Housing Authority analyzes the rent burden of voucher holders to determine*

*when an increase in the voucher payment standard would enhance the use by Section 8 tenants of Housing Choice Vouchers in Santa Cruz County.*

- ☒ Implement voucher homeownership program:
- ☐ Implement public housing or other homeownership programs:
- ☐ Implement public housing site-based waiting lists:
- ☐ Convert public housing to vouchers:
- ☐ Other: (list below)

**HUD Strategic Goal: Improve community quality of life and economic vitality**

- ☒ PHA Goal: Provide an improved living Objectives:
  - ☒ Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments: *The Housing Authority exceeds HUD's goal that 62 percent of all families with low incomes live in low poverty areas (defined as a concentration of less than 20 percent). To ensure that the Housing Authority continues to meet and exceed this goal, an annual review of census tract locations of assisted families will be conducted to determine if there is a need to adjust admission policies and/or landlord recruitment policies to meet HUD's goal*
  - ☒ Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments: *Currently 100% of Housing Authority units are located in low poverty census tracts . If new census data demonstrates that a Public Housing site is located in a non-low poverty census tract, the Housing Authority will review the average tenant income at that project and consider implementing income targeting if it is determined that the average tenant income is significantly lower than income levels at other Public Housing sites*
  - ☒ Implement public housing security improvements: *The Housing Authority has implemented security improvements at several Public Housing sites including improved exterior lighting; deadbolt locks on all entry doors; self-closing doors at all laundry rooms; placement of police officers as residents at five Public Housing complexes*
  - ☐ Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
  - ☐ Other: (list below)

**HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals**

☒ PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

☐ Increase the number and percentage of employed persons in assisted families:

☒ Provide or attract supportive services to improve assistance recipients' employability: *The Housing Authority works closely with social service agencies to improve and increase supportive services for elderly and disabled families. These organizations include the Central Coast Center for Independent Living; the Santa Cruz Community Counseling Center, the Santa Cruz AIDS Project; and the Santa Cruz Human Resources Agency. The Housing Authority provides referrals and coordinates with client services staff when needed, and works with these agencies to prepare joint applications for funding to provide training and employment opportunities.*

☒ Provide or attract supportive services to increase independence for the elderly or families with disabilities. *By working with the agencies identified in the objective above, the Housing Authority increases independence for the elderly and families with disabilities.*

☐ Other: (list below)

#### **HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans**

☒ PHA Goal: Ensure equal opportunity and affirmatively further fair housing  
Objectives:

☒ Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: *The Housing Authority maintains a referral list of units in the County accessible to persons with disabilities, including affordable units owned by non-profits or other housing organizations, as well as units listed by landlords interested in renting to Section 8 tenants. As the technology for TDD communication devices improves, the Housing Authority upgrades its equipment to ensure complete accessibility for hearing-impaired individuals. In addition, the Housing Authority has an e-mail account that provides an opportunity for hearing-impaired individuals to contact the Housing Authority by modem if preferred. Also, the Housing Authority maintains fair housing brochures and posters in public areas of Housing Authority offices and properties; and makes this information available to members of the community who are seeking information about their fair housing rights. Referrals to HUD, FHEO, Legal Aid and other advocacy organizations are made upon request.*

☒ Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion

national origin, sex, familial status, and disability: ***Public Housing is provided by the Housing Authority to the extent funding has been made available, in a range of bedroom sizes from one bedroom units to 5 bedrooms units; thereby providing for a broad range of housing need. Accessible units are made available to applicants with disabilities***



Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required: ***All individuals and families seeking housing assistance from the Housing Authority are provided an opportunity to identify to Housing Authority staff and on their application their need for special housing needs/reasonable accommodation. This information is used as a basis for identifying families eligible for accessible units. Public Housing Capital Fund Program (CFP) funding has been used to improve physical access to public housing sites and units. The Housing Authority has also played an active role in the county-wide Continuum of Care working group; has worked with community groups to identify housing needs of persons with disabilities that could be met through HUD funding and Housing Authority programs. Also, the Housing Authority maintains a referral list of units adapted for use by persons with disabilities in the County.***



Other: (list below)

**Other PHA Goals and Objectives: (list below)**

**Annual PHA Plan**  
**PHA Fiscal Year 2003**  
[24 CFR Part 903.7]

**i. Annual Plan Type:**

Select which type of Annual Plan the PHA will submit.

☐ **Standard Plan**

**Streamlined Plan:**

- ☒ **High Performing PHA**  
☐ **Small Agency (<250 Public Housing Units)**  
☐ **Administering Section 8 Only**

☐ **Troubled Agency Plan**

**ii. Executive Summary of the Annual PHA Plan**

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

*Mission Statement: "Helping low and moderate income families obtain housing they can afford." The Mission Statement for the Housing Authority of the County of Santa Cruz sets the framework for the Agency Plan and for the policies and practices of this agency.*

*The needs assessment in this agency plan identifies a significant need for affordable housing. The Housing Authority wait list indicates that during the past three years there has been an increase in the number of households who are in need of affordable housing, as evidenced by an increase in the number of households seeking and qualifying for Housing Authority rental assistance. Meeting that need is the primary goal of the Housing Authority of the County of Santa Cruz and of this Agency Plan.*

*The Housing Authority has consistently implemented policies designed to increase the availability of housing assistance. It pursues a balanced approach between serving the greatest number of households while being fiscally responsible. Where discretionary policies are permitted by the United States Department of Housing and Urban Development (HUD), agency choices are to stretch the federal dollars to serve more families at the expense of providing deeper subsidies to fewer families. This is represented in the agency eligibility, selection and admission policies.*

*The Housing Authority's primary means for addressing the need for affordable housing is the Section 8 rental assistance programs. Rents for four thousand (4000) Santa Cruz County households are currently made affordable through the Section 8 Voucher and Moderate Rehabilitation Programs. The Housing Authority has implemented a Section 8 Homeownership Program designed to make homeownership an option for Section 8 participants. The Housing Authority also makes 234 Public*



*Housing units available throughout the County of Santa Cruz. As a result of turnover in these programs, approximately 240 households in need of assistance are newly served each year.*

*Whereas the Housing Authority participates and continues to participate in other programs to expand the supply of affordable housing, and administers and expands other programs designed to address affordability needs of low and moderate income, increasing the supply of Section 8 assistance is a primary goal for dealing with the housing needs identified in this plan. The Housing Authority applies for all such funding when made available by HUD.*

*Whereas expansion of affordability opportunities is the primary goal of the Housing Authority, managing existing resources to maximize community benefit and maximize the life of affordable housing resources is a significant objective of the agency. In addition to consistently applying for additional vouchers, this agency minimizes the number of discretionary rent deductions and income exclusions. Whereas such discretionary benefits are permissible, they reduce the monies available to assist a larger pool of households.*

*The Housing Authority was awarded funds for three grant-funded projects. The Resident Opportunities for Self-Sufficiency (ROSS) program is a three-year program targeted to youth ages 13-21. Through a partnership with the Human Resources Agency (HRA), the local agency responsible for Welfare-to-Work program, youth in public housing will have the opportunity to participate in youth mentoring programs, internships and work study, after-school tutoring, and career counseling. The goals of the program are to reduce truancy and dropout, increase school performance, and increase school achievement. This program is funded through early 2004.*

*The Housing Authority has also received funds for a Family Self-Sufficiency Coordinator for the second year. This staff person will work with FSS families in the Section 8 program to help them achieve their goals.*

*Our third new program, the Housing Search Assistance program is a collaboration with the Families in Transition program to help Section 8 families lease up in the county. The Housing Authority will be able to help tenants write tenant resumes, conduct credit and background checks, hold tenant-landlord dispute resolution sessions, and offer Spanish interpretation services.*

*Within the Public Housing Program, the Housing Authority strives to maximize the life of each residential unit through both maintenance/modernization practices and tenant selection and rent policies. Capital funds provided during the past five years have been used to address structural needs and modernization projects; tenant selection policies are designed to house households that will respect and care for their home and who represent a broad range of income within the limits of the program to provide a stable rental income base. The Agency Plan represents a continuation of these policies.*

*Integral to the administration of affordable housing programs, and implementation of the agency plan, is the agency's efforts to ensure equal opportunity for all county residents to agency programs. The Housing Authority has undertaken a variety of projects to increase independence for the elderly and for families with disabilities. The Housing Authority provides guidance and referrals to those who experience discrimination. The Housing Authority monitors income levels of public housing tenants and implements deconcentration practices when needed to maintain a mix of incomes at all public housing developments. It is within the Agency Plan to continue these policies and practices.*

*A significant characteristic of Santa Cruz County is the lack of concentration of low income households in specific geographic areas. HUD deconcentration data shows there are no impacted areas as defined by HUD. Census data shows only 4 census tracts in which more than 20% of the households are below the Federal poverty level. The location of assisted units is monitored and this agency implements practices designed to maintain a deconcentration of low income families.*

*The Agency Plan has been developed in consultation with County and City officials to coordinate efforts to broaden housing opportunities and to support County and City efforts to implement their affordable housing strategies.*

*The Annual Plan synthesizes Housing Authority policies and programs into a complete representation of the actions taken by this agency to fulfill it's Mission Statement and of its intentions for expanding its efforts to meet the affordable housing needs within the County.*

### **iii. Annual Plan Table of Contents**

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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## Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

### Required Attachments:

- ☒ Admissions Policy for Deconcentration: Attachment A
- ☒ FY 2003 Capital Fund Program Annual Statement: Attachment B
- ☐ Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

### Optional Attachments:

- ☐ PHA Management Organizational Chart
- ☒ FY 2003 Capital Fund Program 5 Year Action Plan: Attachment C
- ☐ Public Housing Drug Elimination Program (PHDEP) Plan
- ☐ Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text) ***Included in Plan text***
- ☒ Other (List below, providing each attachment name)
  - Resident Member on the PHA Governing Board: Attachment D
  - Membership of the Resident Advisory Board or Boards: Attachment E
  - Statement of Progress in Meeting the 5-Year Plan Mission and Goals: Attachment F
  - Implementation of Public Housing Community Services Requirement: Attachment G
  - Pet Policy: Attachment H
  - Section 8 Homeownership Capacity Statement: Attachment I
  - Project Based Assistance Program: Attachment J
  - Component 3, (6) Deconcentration and Income Mixing – revised template: Attachment K

## Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing	Annual Plan: Grievance Procedures

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	A & O Policy	
X	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
X	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
X	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
X	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing §504 of the Rehabilitation Act and the Americans with Disabilities Act. See, PIH 99-52 (HA).	Annual Plan: Capital Needs

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Resident Survey Action Plan	Annual Plan: Eligibility, Selection, and Admissions Policies/ Capital Needs
X	Community Services Policy <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Pet Policy <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Eligibility, Selection, and Admissions Policies

## 1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

### A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	5672	5	5	2	2	2	2
Income >30% but <=50% of AMI	4699	5	5	2	2	2	2
Income >50% but <80% of AMI	4529	4	4	2	2	2	2
Elderly	2065	5	5	2	2	2	2
Families with Disabilities	N/A						
Hispanic	6384	5	5	2	2	2	2
Black/Non-Hispanic	429	5	5	2	2	2	2

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- ☐ Consolidated Plan of the Jurisdiction/s  
Indicate year:
- ☒ U.S. Census data: the Comprehensive Housing Affordability Strategy ("CHAS") dataset
- ☐ American Housing Survey data

- Indicate year:
- ☐ Other housing market study
- Indicate year:
- ☐ Other sources: (list and indicate year of information)

## B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/>	Section 8 tenant-based assistance		
<input type="checkbox"/>	Public Housing		
<input type="checkbox"/>	Combined Section 8 and Public Housing		
<input type="checkbox"/>	Public Housing Site-Based or sub-jurisdictional waiting list (optional)		
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	4565		230
Extremely low income <=30% AMI	1963	43%	
Very low income (>30% but <=50% AMI)	2556	56%	
Low income (>50% but <80% AMI)	46	1%	
Families with children	3424	75%	
Elderly families	941	21%	
Families with Disabilities	730	16%	
White/Hispanic	4382	96%	
Black/Non-Hispanic	74	2%	
American Indian/Non -Hispanic	23	1%	
Asian/Non-Hispanic	34	1%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			

Housing Needs of Families on the Waiting List			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Waiting list type: (select one) <input type="checkbox"/> Section 8 tenant-based assistance <input checked="" type="checkbox"/> Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/sub jurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	3580		19
Extremely low income <=30% AMI	1539	43%	
Very low income (>30% but <=50% AMI)	2005	56%	
Low income (>50% but <80% AMI)	36	1%	
Families with children	2685	75%	
Elderly families	895	25%	
Families with Disabilities	573	16%	
White/Hispanic	3472	97%	
Black/Non-Hispanic	86	2%	
American Indian/Non -Hispanic	29	1%	
Asian/Non-Hispanic	34	1%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	956	27%	0-1
2 BR	1540	43%	10
3 BR	955	2927%	8



Housing Needs of Families on the Waiting List			
4 BR	118	3%	1
5 BR	10	0%	0-1
5+ BR	2	0%	0
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

### C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

*The Housing Authority will apply for all available federal and state funds to expand our housing assistance programs. This policy continues an aggressive approach to expand the number of programs made available to county residents, and to increase the number of families that can be assisted. It builds on past efforts that have seen the number of assisted families grow from approximately 900 in 1980 to over 4,200 in 2003 in the Section 8 and Public Housing programs combined.*

#### (1) Strategies

**Need: Shortage of affordable housing for all eligible populations**

**Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:**

Select all that apply

- ☒ Employ effective maintenance and management policies to minimize the number of public housing units off-line
- ☒ Reduce turnover time for vacated public housing units
- ☒ Reduce time to renovate public housing units
- ☐ Seek replacement of public housing units lost to the inventory through mixed finance development
- ☐ Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- ☒ Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- ☒ Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- ☒ Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- ☐ Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program

- ☒ Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- ☐ Other (list below)

**Strategy 2: Increase the number of affordable housing units by:**

Select all that apply

- ☒ Apply for additional section 8 units should they become available
- ☐ Leverage affordable housing resources in the community through the creation of mixed - finance housing
- ☐ Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- ☐ Other: (list below)

**Need: Specific Family Types: Families at or below 30% of median**

**Strategy 1: Target available assistance to families at or below 30 % of AMI**

Select all that apply

- ☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- ☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- ☐ Employ admissions preferences aimed at families with economic hardships
- ☒ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

**Need: Specific Family Types: Families at or below 50% of median**

**Strategy 1: Target available assistance to families at or below 50% of AMI**

Select all that apply

- ☐ Employ admissions preferences aimed at families who are working
- ☒ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

**Need: Specific Family Types: The Elderly**

**Strategy 1: Target available assistance to the elderly:**

Select all that apply

- ☐ Seek designation of public housing for the elderly
- ☒ Apply for special-purpose vouchers targeted to the elderly, should they become available
- ☐ Other: (list below)

**Need: Specific Family Types: Families with Disabilities**

**Strategy 1: Target available assistance to Families with Disabilities:**

Select all that apply

- ☐ Seek designation of public housing for families with disabilities
- ☒ Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- ☒ Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- ☒ Affirmatively market to local non-profit agencies that assist families with disabilities
- ☐ Other: (list below)

**Need: Specific Family Types: Races or ethnicities with disproportionate housing needs****Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:**

Select if applicable

- ☒ Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- ☐ Other: (list below)

**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

- ☒ Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- ☒ Market the section 8 program to owners outside of areas of poverty /minority concentrations
- ☐ Other: (list below)

**Other Housing Needs & Strategies: (list needs and strategies below)****(2) Reasons for Selecting Strategies**

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- ☒ Funding constraints
- ☒ Staffing constraints
- ☒ Limited availability of sites for assisted housing
- ☒ Extent to which particular housing needs are met by other organizations in the community
- ☒ Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- ☒ Influence of the housing market on PHA programs
- ☒ Community priorities regarding housing assistance
- ☒ Results of consultation with local or state government

- ☒ Results of consultation with residents and the Resident Advisory Board
- ☒ Results of consultation with advocacy groups
- ☐ Other: (list below)

## **2. Statement of Financial Resources**

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2003 grants)</b>		
a) Public Housing Operating Fund	\$55,000	
b) Public Housing Capital Fund	\$526,250	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$40,813,488	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants	\$50,000	
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
Housing Counseling	\$18,500	Counseling
Transitional Housing	\$56,000	Operations and Support Services
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
<b>3. Public Housing Dwelling Rental Income</b>		
LIPH	\$1,250,000	Operations
USDA	\$400,000	Operations
Transitional Housing	\$10,000	Operations

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
<b>4. Other income</b> (list below)		
USDA Int, Laundry	\$17,400	Operations
LIPH Laundry Etc.	\$35,000	Operations
<b>4. Non-federal sources</b> (list below)		
Families Moving to Work	\$100,000	Capital Improvements
<b>Total resources</b>	\$43,481,638	

### **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24 CFR Part 903.7 9 (c)]

#### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

##### **(1) Eligibility**

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- ☐ When families are within a certain number of being offered a unit: (state number)  
☒ When families are within a certain time of being offered a unit: **60 days**  
☐ Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- ☒ Criminal or Drug-related activity: ***via contract with private investigator***  
☒ Rental history  
☒ Housekeeping  
☒ Other (describe): ***Credit Reports and Eviction History***

c. ☒ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. ☐ Yes ☒ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

##### **(2)Waiting List Organization**

- a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- ☒ Community-wide list  
☐ Sub-jurisdictional lists  
☐ Site-based waiting lists  
☐ Other (describe)

- b. Where may interested persons apply for admission to public housing?

- ☒ PHA main administrative office  
☐ PHA development site management office  
☐ Other (list below)

- c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. ☐ Yes ☐ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?  
If yes, how many lists?

3. ☐ Yes ☐ No: May families be on more than one list simultaneously  
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☐ PHA main administrative office  
☐ All PHA development management offices  
☐ Management offices at developments with site-based waiting lists  
☐ At the development to which they would like to apply  
☐ Other (list below)

### **(3) Assignment**

- a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- ☐ One  
☒ Two  
☐ Three or More

- b. ☒ Yes ☐ No: Is this policy consistent across all waiting list types?

- c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

### **(4) Admissions Preferences**

a. Income targeting:

- ☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☒ Emergencies  
☐ Overhoused  
☒ Underhoused  
☒ Medical justification  
☒ Administrative reasons determined by the PHA (e.g., to permit modernization work)  
☐ Resident choice: (state circumstances below)  
☐ Other: (list below)

c. Preferences

1. ☐ Yes ☒ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)  
☐ Victims of domestic violence  
☐ Substandard housing  
☐ Homelessness  
☐ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- ☐ Working families and those unable to work because of age or disability  
☐ Veterans and veterans' families  
☐ Residents who live and/or work in the jurisdiction  
☐ Those enrolled currently in educational, training, or upward mobility programs  
☐ Households that contribute to meeting income goals (broad range of incomes)  
☐ Households that contribute to meeting income requirements (targeting)  
☐ Those previously enrolled in educational, training, or upward mobility programs  
☐ Victims of reprisals or hate crimes  
☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either

through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

#### Date and Time

#### Former Federal preferences:

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)  
Victims of domestic violence  
Substandard housing  
Homelessness  
High rent burden

#### Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

#### 4. Relationship of preferences to income targeting requirements:

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

### **(5) Occupancy**

#### a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- ☒ The PHA-resident lease
- ☒ The PHA's Admissions and (Continued) Occupancy policy
- ☒ PHA briefing seminars or written materials
- ☐ Other source (list)

#### b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- ☒ At an annual reexamination and lease renewal
- ☒ Any time family composition changes
- ☒ At family request for revision
- ☐ Other (list)

### **(6) Deconcentration and Income Mixing**



***This sub-component has been disregarded by HUD Notice PIH-99-51.  
The questions within this sub-component have been replaced with  
questions contained in Attachment K***

- a. ☐ Yes ☐ No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?
- b. ☐ Yes ☐ No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?
- c. If the answer to b was yes, what changes were adopted? (select all that apply)
- ☐ Adoption of site-based waiting lists  
If selected, list targeted developments below:
- ☐ Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments  
If selected, list targeted developments below:
- ☐ Employing new admission preferences at targeted developments  
If selected, list targeted developments below:
- ☐ Other (list policies and developments targeted below)
- d. ☐ Yes ☐ No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?
- e. If the answer to d was yes, how would you describe these changes? (select all that apply)
- ☐ Additional affirmative marketing
- ☐ Actions to improve the marketability of certain developments
- ☐ Adoption or adjustment of ceiling rents for certain developments
- ☐ Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- ☐ Other (list below)
- f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)
- ☐ Not applicable: results of analysis did not indicate a need for such efforts
- ☐ List (any applicable) developments below:
- g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- ☐ Not applicable: results of analysis did not indicate a need for such efforts
- ☐ List (any applicable) developments below:

## B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

**Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

### (1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- ☒ Criminal or drug-related activity only to the extent required by law or regulation
- ☐ Criminal and drug-related activity, more extensively than required by law or regulation
- ☐ More general screening than criminal and drug-related activity (list factors below)
- ☐ Other (list below)
- b. ☒ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. ☐ Yes ☒ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- ☐ Criminal or drug-related activity
- ☒ Other (describe below)
- Current address of tenant and name and address of current and prior landlord (if known).

### (2) Waiting List Organization

- a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)
- ☐ None
- ☒ Federal public housing
- ☒ Federal moderate rehabilitation
- ☐ Federal project-based certificate program
- ☐ Other federal or local program (list below)
- b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)
- ☒ PHA main administrative office
- ☐ Other (list below)

### **(3) Search Time**

- a. ☒ Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

***Special cases only that present unusual difficulties for using the voucher within 60 days, such as: large family, a 'special needs' family, hospitalization or drug rehabilitation, death in family, etc., or evidence of due diligence in attempting to find housing without success.***

***The Housing Authority will grant extensions beyond 120 days for up to 60 days as a Reasonable Accommodation for Housing Choice Voucher holders with disabilities. Third party verification of disability is required.***

### **(4) Admissions Preferences**

- a. Income targeting

- ☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

- b. Preferences

1. ☐ Yes ☒ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- ☐ Victims of domestic violence
- ☐ Substandard housing
- ☐ Homelessness
- ☐ High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)

- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans’ families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- ☐ Date and time of application
- ☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one)

- ☐ This preference has previously been reviewed and approved by HUD
- ☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

## **(5) Special Purpose Section 8 Assistance Programs**

- a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- ☒ The Section 8 Administrative Plan  
☒ Briefing sessions and written materials  
☒ Other (list below)

***Housing Authority Information Bulletins***

- ***in print or on the Housing Authority Website  
([hacosantacruz.org](http://hacosantacruz.org))***

- b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- ☒ Through published notices  
☒ Other (list below)

***Individual notices are sent to all persons on the wait list and other outreach is conducted pursuant to HUD requirements for each special purpose program.***

## **4. PHA Rent Determination Policies**

[24 CFR Part 903.7 9 (d)]

### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

#### **(1) Income Based Rent Policies**

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

- a. Use of discretionary policies: (select one)

- ☒ The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- ☐ The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

- b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☒ \$0  
☐ \$1-\$25

☐ \$26-\$50

2. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. ☐ Yes ☒ No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

☐ For the earned income of a previously unemployed household member

☐ For increases in earned income

☐ Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

☐ Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

☐ For household heads

☐ For other family members

☐ For transportation expenses

☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families

☐ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

☐ Yes for all developments

☐ Yes but only for some developments

☒ No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

☐ For all developments

☐ For all general occupancy developments (not elderly or disabled or elderly only)

☐ For specified general occupancy developments

☐ For certain parts of developments; e.g., the high-rise portion

☐ For certain size units; e.g., larger bedroom sizes

☐ Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- ☐ Market comparability study
- ☐ Fair market rents (FMR)
- ☐ 95<sup>th</sup> percentile rents
- ☐ 75 percent of operating costs
- ☐ 100 percent of operating costs for general occupancy (family) developments
- ☐ Operating costs plus debt service
- ☐ The "rental value" of the unit
- ☐ Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- ☐ Never
- ☐ At family option
- ☐ Any time the family experiences an income increase
- ☐ Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)\_\_\_\_\_
- ☒ Other (list below)

Re-examination of income, between annual reviews, are conducted when there is a change in family composition that results in additional income to the family. Increases in income for existing family members are reviewed at annual re-certification.

g. ☐ Yes ☒ No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

## **(2) Flat Rents**

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- ☒ The section 8 rent reasonableness study of comparable housing
- ☒ Survey of rents listed in local newspaper
- ☐ Survey of similar unassisted units in the neighborhood
- ☒ Other (list/describe below)

***Fair Market Rents (FMRs). FMRs are consistently lower than normal rental values in the County and represent the 40<sup>th</sup> percentile of market rents in the County.***

## **B. Section 8 Tenant-Based Assistance**

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

### **(1) Payment Standards**

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- ☐ At or above 90% but below 100% of FMR
- ☒ 100% of FMR
- ☐ Above 100% but at or below 110% of FMR
- ☐ Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- ☐ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☐ The PHA has chosen to serve additional families by lowering the payment standard
- ☐ Reflects market or submarket
- ☐ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- ☒ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☐ Reflects market or submarket
- ☒ To increase housing options for families
- ☐ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- ☒ Annually
- ☐ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- ☒ Success rates of assisted families
- ☒ Rent burdens of assisted families
- ☐ Other (list below)

### **(2) Minimum Rent**

a. What amount best reflects the PHA's minimum rent? (select one)

- ☒ \$0
- ☐ \$1-\$25
- ☐ \$26-\$50



- b. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

## **5. Operations and Management**

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

***The Housing Authority of the County of Santa Cruz is a High Performing PHA and therefore is not required to complete this section.***

### **A. PHA Management Structure**

Describe the PHA's management structure and organization.

(select one)

- ☐ An organization chart showing the PHA's management structure and organization is attached.
- ☐ A brief description of the management structure and organization of the PHA follows:

### **B. HUD Programs Under PHA Management**

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

### **C. Management and Maintenance Policies**

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

(2) Section 8 Management: (list below)

## **6. PHA Grievance Procedures**

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

### **A. Public Housing**

1. ☐ Yes ☐ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- ☐ PHA main administrative office  
☐ PHA development management offices  
☐ Other (list below)

### **B. Section 8 Tenant-Based Assistance**

1. ☐ Yes ☐ No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- ☐ PHA main administrative office  
☐ Other (list below)

## **7. Capital Improvement Needs**

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

### **A. Capital Fund Activities**

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

### **(1) Capital Fund Program Annual Statement**

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

☒ The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment B ***Capital Fund Program Annual Statement, Parts I, II, and III.***

-or-

☐ The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

### **(2) Optional 5-Year Action Plan**

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

a. ☒ Yes ☐ No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

☒ The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment C

-or-

☐ The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

## **B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)**

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

☐ Yes ☒ No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)  
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- ☐ Revitalization Plan under development  
☐ Revitalization Plan submitted, pending approval  
☐ Revitalization Plan approved  
☐ Activities pursuant to an approved Revitalization Plan underway

☐ Yes ☒ No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below:

☐ Yes ☒ No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?

If yes, list developments or activities below:

☐ Yes ☒ No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?

If yes, list developments or activities below:

## **8. Demolition and Disposition**

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

### 2. Activity Description

☐ Yes ☐ No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

<b>Demolition/Disposition Activity Description</b>
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/>

Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one)
<input type="checkbox"/> Part of the development
<input type="checkbox"/> Total development
7. Timeline for activity:
a. Actual or projected start date of activity:
b. Projected end date of activity:

## **9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities**

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

### 2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

<b>Designation of Public Housing Activity Description</b>
1a. Development name:
1b. Development (project) number:
2. Designation type:
Occupancy by only the elderly <input type="checkbox"/>
Occupancy by families with disabilities <input type="checkbox"/>
Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one)
Approved; included in the PHA’s Designation Plan <input type="checkbox"/>
Submitted, pending approval <input type="checkbox"/>
Planned application <input type="checkbox"/>

4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected:
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

## **10. Conversion of Public Housing to Tenant-Based Assistance**

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

### **A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act**

1. ☐ Yes ☒ No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

#### 2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

<b>Conversion of Public Housing Activity Description</b>
1a. Development name:
1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY)

<input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

<b>B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937</b>
---

A. How many of the PHAs developments are subject to the required initial assessments?

9 projects (100%)

B. How many of the PHA's developments are not subject to the Required Initial Assessments based on exemptions (e.g., elderly and/or disabled developments not general occupancy projects)?

Because all of the Housing Authority's developments are for general occupancy, as opposed to elderly or disabled occupancy, 100% of the developments, or 9 projects, are subject to the requirements.

C. How many Assessments were conducted for the PHA's covered developments?

One assessment was conducted. It applies to all nine of the PHA's projects.

D. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments:

Under certain conditions, all of the Housing Authority's developments may be appropriate for voluntary conversion. These conditions are:

1. That the Housing Authority retain ownership of the units to ensure their long-term preservation as affordable units. Santa Cruz county faces a severe housing shortage and lacks developable parcels of land. For this reason, selling the units on the open market would almost certainly result in a net loss of units and would make it difficult, if not impossible, for former public housing tenants to use their vouchers to find affordable housing.

2. That Section 8 vouchers are provided to each tenant

3. That future HUD requirements do not prevent the Housing Authority from operating the units under the assumptions used to generate the attached budget projections. (Attachment L)

It cannot be stated strongly enough that the recommendation to convert public housing units to Section 8 is one that must be approached with great caution and with the preservation of affordable units as the top priority. This recommendation is tentative in nature and is made prior to the final rulemaking by HUD, and is therefore subject to change as new information becomes available.

Development Name	Number of Units
CA072003 La Fonda/Broadway	17
CA072004 Grandview	15
CA072005 30 <sup>th</sup> Avenue	19
CA072006 Courtyard	12
CA072007 Portola/17 <sup>th</sup>	38
CA072008 Blackburn/Seneca/Crestview/Montebello	70
CA072017 Arista Ct/Pennsylvania	32
CA072018 Clifford Ave.	16
CA072021 Arista Lane	15

- E. If the PHA has not completed the Required Initial Assessments, describe the status of these assessments.

Not applicable. The assessment is complete.

### **C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937**

## **11. Homeownership Programs Administered by the PHA**

[24 CFR Part 903.7 9 (k)]

### **A. Public Housing**

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. ☐ Yes ☒ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing**



**PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

**B. Section 8 Tenant Based Assistance**

1. ☒ Yes ☐ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

- ☐ Yes ☒ No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- ☐ 25 or fewer participants
- ☐ 26 - 50 participants
- ☐ 51 to 100 participants
- ☐ more than 100 participants

b. PHA-established eligibility criteria

☒ Yes ☐ No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below: *The Homeownership option will be limited to existing participants in the Section 8 Program.*

## **12. PHA Community Service and Self-sufficiency Programs**

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

*The Housing Authority of the County of Santa Cruz is a High Performing PHA and therefore is not required to complete this section.*

### **A. PHA Coordination with the Welfare (TANF) Agency**

1. Cooperative agreements:

☐ Yes ☐ No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? DD/MM/YY

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☐ Client referrals
- ☐ Information sharing regarding mutual clients (for rent determinations and otherwise)
- ☐ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- ☐ Jointly administer programs
- ☐ Partner to administer a HUD Welfare-to-Work voucher program
- ☐ Joint administration of other demonstration program
- ☐ Other (describe)

### **B. Services and programs offered to residents and participants**

#### **(1) General**

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- ☐ Public housing rent determination policies
- ☐ Public housing admissions policies
- ☐ Section 8 admissions policies
- ☐ Preference in admission to section 8 for certain public housing families
- ☐ Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- ☐ Preference/eligibility for public housing homeownership option participation
- ☐ Preference/eligibility for section 8 homeownership option participation
- ☐ Other policies (list below)

b. Economic and Social self-sufficiency programs

- ☐ Yes ☐ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use. )

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)

**(2) Family Self Sufficiency program/s**

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8		

- b. ☐ Yes ☐ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?

If no, list steps the PHA will take below:

### C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
  - ☐ Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
  - ☐ Informing residents of new policy on admission and reexamination
  - ☐ Actively notifying residents of new policy at times in addition to admission and reexamination.
  - ☐ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
  - ☐ Establishing a protocol for exchange of information with all appropriate TANF agencies
  - ☐ Other: (list below)

### D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

## **13. PHA Safety and Crime Prevention Measures**

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

***The Housing Authority of the County of Santa Cruz is a High Performing PHA and is not participating in PHDEP; therefore this agency is not required to complete this section.***

### A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)
  - ☐ High incidence of violent and/or drug-related crime in some or all of the PHA's developments
  - ☐ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
  - ☐ Residents fearful for their safety and/or the safety of their children
  - ☐ Observed lower-level crime, vandalism and/or graffiti
  - ☐ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
  - ☐ Other (describe below)
2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).
  - ☐ Safety and security survey of residents

- ☐ Analysis of crime statistics over time for crimes committed “in and around” public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☐ Resident reports
- ☐ PHA employee reports
- ☐ Police reports
- ☐ Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- ☐ Other (describe below)

3. Which developments are most affected? (list below)

**B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year**

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☐ Contracting with outside and/or resident organizations for the provision of crime-and/or drug-prevention activities
- ☐ Crime Prevention Through Environmental Design
- ☐ Activities targeted to at-risk youth, adults, or seniors
- ☐ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

**C. Coordination between PHA and the police**

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☐ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- ☐ Police provide crime data to housing authority staff for analysis and action
- ☐ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- ☐ Police regularly testify in and otherwise support eviction cases
- ☐ Police regularly meet with the PHA management and residents
- ☐ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- ☐ Other activities (list below)

2. Which developments are most affected? (list below)

**D. Additional information as required by PHDEP/PHDEP Plan**

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- ☐ Yes ☐ No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- ☐ Yes ☐ No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- ☐ Yes ☐ No: This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_)

#### **14. RESERVED FOR PET POLICY**

[24 CFR Part 903.7 9 (n)]

*The Pet Policy is contained in the Public Housing Admissions and (Continued) Occupancy Policy (A Supporting Document Available for Review).*

#### **15. Civil Rights Certifications**

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

#### **16. Fiscal Audit**

[24 CFR Part 903.7 9 (p)]

1. ☒ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?  
(If no, skip to component 17.)
2. ☒ Yes ☐ No: Was the most recent fiscal audit submitted to HUD?
3. ☒ Yes ☐ No: Were there any findings as the result of that audit?
4. ☐ Yes ☒ No: If there were any findings, do any remain unresolved?  
If yes, how many unresolved findings remain? \_\_\_\_
5. ☐ Yes ☐ No: Have responses to any unresolved findings been submitted to HUD?  
If not, when are they due (state below)? **Not Applicable**

#### **17. PHA Asset Management**

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

*The Housing Authority of the County of Santa Cruz is a High Performing PHA and therefore is not required to complete this section.*

1. ☐ Yes ☐ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)

- ☐ Not applicable
- ☐ Private management
- ☐ Development-based accounting
- ☐ Comprehensive stock assessment
- ☐ Other: (list below)

3. ☐ Yes ☐ No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

## **18. Other Information**

[24 CFR Part 903.7 9 (r)]

### **A. Resident Advisory Board Recommendations**

1. ☐ Yes ☒ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
  - ☐ Attached at Attachment (File name)
  - ☐ Provided below:
3. In what manner did the PHA address those comments? (select all that apply)
  - ☒ Considered comments, but determined that no changes to the PHA Plan were necessary.
  - ☐ The PHA changed portions of the PHA Plan in response to comments  
List changes below:
  - ☐ Other: (list below)

### **B. Description of Election process for Residents on the PHA Board**

1. ☐ Yes ☒ No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. ☐ Yes ☒ No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

### **3. Description of Resident Election Process**

- a. Nomination of candidates for place on the ballot: (select all that apply)
  - ☐ Candidates were nominated by resident and assisted family organizations
  - ☐ Candidates could be nominated by any adult recipient of PHA assistance
  - ☐ Self-nomination: Candidates registered with the PHA and requested a place on ballot
  - ☐ Other: (describe)

b. Eligible candidates: (select one)

- ☐ Any recipient of PHA assistance
- ☐ Any head of household receiving PHA assistance
- ☐ Any adult recipient of PHA assistance
- ☐ Any adult member of a resident or assisted family organization
- ☐ Other (list)

c. Eligible voters: (select all that apply)

- ☐ All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- ☐ Representatives of all PHA resident and assisted family organizations
- ☐ Other (list)

**C(1). Statement of Consistency with the Consolidated Plan**

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: *City of Santa Cruz*

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☒ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☒ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☒ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)  
Administer the Section 8 Housing Choice Voucher Program and seek additional federal subsidies as they become available.
- ☐ Other: (list below)

2. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

The Consolidated Plan of the City of Santa Cruz supports the Housing Authority's Agency Plan by including a policy to cooperate on an on-going basis in the development of policies and programs designed to address the housing needs within the shared geographical areas of the agencies.

**C(2). Statement of Consistency with the Consolidated Plan**

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: *City of Watsonville*



2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☒ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☒ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☒ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)  
***Administer the Section 8 Housing Choice Voucher Program and seek additional federal subsidies as they become available.***
- ☐ Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

***The Consolidated Plan of the City of Watsonville supports the Housing Authority's Agency Plan by including a policy to cooperate on an on-going basis in the development of policies and programs designed to address the housing needs within the shared geographical areas of the agencies.***

### **C(3). Statement of Consistency with the Consolidated Plan**

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: ***State of California***

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☒ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☒ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)  
***Administer the Section 8 Housing Choice Voucher Program and seek additional federal subsidies as they become available.***
- ☐ Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

***The State Department of Housing and Community Development (HCD) encourages the Housing Authority of the County of Santa Cruz to submit***

*suggestions, improvements and additional objectives for consideration in State Consolidated Plan updates.*

**D. Other Information Required by HUD**

Use this section to provide any additional information requested by HUD.

## **Attachments**

Use this section to provide any additional attachments referenced in the Plans.

### **ATTACHMENT A: ACHIEVING BROAD RANGE OF INCOME - DECONCENTRATION (Excerpt from Admissions and Continued Occupancy Policy)**

#### **Deconcentration Policy**

It is Housing Authority of the County of Santa Cruz's policy to provide for deconcentration of poverty and encourage income mixing by bringing higher income families into lower income developments and lower income families into higher income developments. Toward this end, we will skip families on the waiting list to reach other families with a lower or higher income. We will accomplish this in a uniform and non-discriminating manner.

The Housing Authority of the County of Santa Cruz will affirmatively market our housing to all eligible income groups. Lower income residents will not be steered toward lower income developments and higher income people will not be steered toward higher income developments.

On a continuous basis the average income of families residing in each of our developments will be compared to the average income of all public housing tenants. When the average income of tenants in a development is lower than 85% or greater than 115% of the average of all public housing tenants, the level of marketing strategies and deconcentration incentives to implement deconcentration measures will be implemented.

#### **Deconcentration incentives**

The Housing Authority of the County of Santa Cruz may offer one or more incentives to encourage applicant families whose income classification would help to meet the deconcentration goals of a particular development.

Various incentives may be used at different times, or under different conditions, but will always be provided in a consistent and nondiscriminatory manner.

**ATTACHMENT B: CAPITAL FUND PROGRAM ANNUAL STATEMENT,**  
**PARTS I, II, AND III (AGENCY PLAN COMPONENT 7 attachment)**

**Annual Statement**

**Capital Fund Program (CFP) Part I: Summary**

Capital Fund Grant Number      FFY of Grant Approval: (07/2003)

**Capital Fund Program (CFP) Part I: Summary**

Capital Fund Grant Number      FFY of Grant Approval: (07/2003)

☒ Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	100,000
3	1408 Management Improvements	
4	1410 Administration	38,750
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fees and Costs	
8	1440 Site Acquisition	
9	1450 Site Improvement	275,000
10	1460 Dwelling Structures	112,500
11	1465.1 Dwelling Equipment-Nonexpendable	
12	1470 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	<b>Amount of Annual Grant (Sum of lines 2-19)</b>	<b>526,250</b>
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

**Annual Statement**  
**Capital Fund Program (CFP) Part II: Supporting Table**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost
PHA-wide	Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.	1460	112,500
PHA-wide	Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades	1450	275,000
PHA-wide	Operations	1406	100,000
PHA-wide	Administration	1410	38,750

**Annual Statement****Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)
PHA-wide All activities	9/30/2004	12/30/2004

## Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072008	Seneca	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$30,500	2004
<b>Year 3: Exterior Siding/Painting</b>		\$43,200	2005
<b>Admin</b>		\$11,560	
<b>Total estimated cost over next 5 years</b>		<b>\$127,160</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072008	Blackburn	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$67,300	2004
<b>Year 3: Exterior Siding/Painting</b>		\$25,200	2005
<b>Admin</b>		\$13,440	
<b>Total estimated cost over next 5 years</b>		<b>\$147,840</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072008	Montebello	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$23,100	2004
<b>Year 3: Exterior Siding/Painting</b>		\$28,800	2005
<b>Admin</b>		\$9,380	
<b>Total estimated cost over next 5 years</b>		<b>\$103,180</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072008	Crestview	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$148,100	2003
<b>Year 3: Exterior Siding/Painting</b>		\$30,600	2005
<b>Admin</b>		\$22,060	
<b>Total estimated cost over next 5 years</b>		<b>\$242,660</b>	



Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072006	Courtyard	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$69,500	2004
<b>Year 3: Exterior Siding/Painting</b>		\$21,600	2005
<b>Admin</b>		\$13,300	
<b>Total estimated cost over next 5 years</b>		<b>\$146,300</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072003	Broadway	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$27,300	2004
<b>Year 3: Exterior Siding/Painting</b>		\$9,000	2005
<b>Admin</b>		\$7,820	
<b>Total estimated cost over next 5 years</b>		<b>\$86,020</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072003	La Fonda	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$21,500	2004
<b>Year 3: Exterior Siding/Painting</b>		\$21,600	2005
<b>Admin</b>		\$8,500	
<b>Total estimated cost over next 5 years</b>		<b>\$93,500</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072007	Portola	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$20,000	2004
<b>Year 3: Exterior Siding/Painting</b>		\$43,200	2005
<b>Admin</b>		\$10,510	
<b>Total estimated cost over next 5 years</b>		<b>\$115,610</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072007	17 <sup>th</sup> Avenue	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$27,300	2003
<b>Year 3: Exterior Siding/Painting</b>		\$25,200	2005
<b>Admin</b>		\$9,440	
<b>Total estimated cost over next 5 years</b>		<b>\$103,840</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072005	30 <sup>th</sup> Avenue	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$87,125	2003
<b>Year 3: Exterior Siding/Painting</b>		\$34,200	2005
<b>Admin</b>		\$16,328	
<b>Total estimated cost over next 5 years</b>		<b>\$179,603</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072004	Grandview	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$21,000	2004
<b>Year 3: Exterior Siding/Painting</b>		\$30,000	2006
<b>Admin</b>		\$9,290	
<b>Total estimated cost over next 5 years</b>		<b>\$102,190</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072018	Clifford	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$53,175	2003
<b>Year 3: Exterior Siding/Painting</b>		\$28,800	2005
<b>Admin</b>		\$12,388	
<b>Total estimated cost over next 5 years</b>		<b>\$136,263</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072017	Pennsylvania	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$82,175	2003
<b>Year 3: Exterior Siding/Painting</b>		\$32,000	2006
<b>Admin</b>		\$15,608	
<b>Total estimated cost over next 5 years</b>		<b>\$171,683</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072017	Arista Court	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		\$41,900	2003
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		\$69,050	2004
<b>Year 3: Exterior Siding/Painting</b>		\$30,000	2006
<b>Admin</b>		\$14,095	
<b>Total estimated cost over next 5 years</b>		<b>\$155,045</b>	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA072021	Arista Lane	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Years 1-5: Modernization of Vacant Units</b> Interior modernization work including but not limited to replacement to major appliances, countertops, cabinets, flooring, window coverings, and bathroom fixtures. Work to be done at vacate to eliminate relocation costs.		<b>\$41,900</b>	<b>2003</b>
<b>Years 2-5: Site Improvements</b> Site lighting, fencing, slurry seal, parking lot repairs, landscaping, irrigation, and drainage upgrades		<b>\$69,050</b>	<b>2004</b>
<b>Year 3: Exterior Siding/Painting</b>		<b>\$30,000</b>	<b>2006</b>
<b>Admin</b>		<b>\$14,095</b>	
<b>Total estimated cost over next 5 years</b>		<b>\$155,045</b>	

### **Attachment C: Resident Member on the PHA Governing Board**

1. ☒ Yes ☐ No: Does the PHA governing board include at least one member who is directly assisted by the PHA this year? (if no, skip to #2)

A. Name of resident member(s) on the governing board:

***Doris Burgers; Martha Martinez***

B. How was the resident board member selected: (select one)?

- ☐ Elected  
☒ Appointed

C. The term of appointment is (include the date term expires):

***Term: two years.***

***Doris Burgers: 2/2004; Martha Martinez: 11/2004***

2. A. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not?

- ☐ the PHA is located in a State that requires the members of a governing board to be salaried and serve on a full time basis  
☐ the PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.  
☐ Other (explain):

B. Date of next term expiration of a governing board member: ***2/2004***

C. Name and title of appointing official(s) for governing board (indicate appointing official for the next position):

***Santa Cruz County Board of Supervisors.***

## **Attachment D: Membership of the Resident Advisory Board or Boards**

List members of the Resident Advisory Board or Boards: (If the list would be unreasonably long, list organizations represented or otherwise provide a description sufficient to identify how members are chosen.)

***The Resident Advisory Board members are appointed by the Board of Commissioners of the Housing Authority of the County of Santa Cruz. Membership on the Resident Advisory Board for participation in the development of the Annual Plan for Fiscal Year 2003 are as follows:***

Tonya Allen  
Helen Griffrow  
Karen Lacey  
Mabel Nunn  
Ray Ralston  
Richard Schmale  
Albert Tingling  
Alicia Vasquez



## **Attachment E: Statement of Progress in Meeting the 5-Year Plan** **Mission and Goals**

*The goals and objectives set forth in the 5-year plan contribute to a safe and healthy living environment for all of the citizens of Santa Cruz County. During the past year, progress has been made in most goals and objectives.*

*GOAL: Increase the availability of decent, safe, and affordable housing.*

*The Housing Authority has applied for and received 708 additional Section 8 vouchers. One hundred forty seven (147) vouchers are targeted to special groups including the disabled. Five hundred sixty one (561) vouchers are not targeted and are added to the agency's non-targeted allocation. During FY 2002, the Housing Authority completed the Section 8 Management Assessment with ratings indicating a high performer agency.*

*The Housing Authority continues to maintain a vacancy rate of less than 3% in the Public Housing units and has received excellent ratings on the management and maintenance of its units. Modernization of Public Housing units has continued throughout FY 2002 in accordance with the Capital Fund Action Plan. The Housing Authority continues to seek resident input on the use of Capital Fund Money and such input is included in the decisions made for the use of the funds. During FY 2002, the Public Housing Assessment System was completed with ratings indicating a high performer agency.*

*GOAL: Increase assisted housing choices*

*During the past year the Housing Authority has continued to provide housing choice counseling to all applicants to Housing Authority Programs; it has continued to outreach to potential landlords; and analyzed rent burdens to determine if an increase in voucher payment standards would enhance the use of the Section 8 Housing Choice Vouchers in Santa Cruz County. During the past year, the payment standard was increased.*

*GOAL: Improve community quality of life and economic vitality.*

*The Housing Authority continues to monitor the income levels at each development to ensure that a broad range of income is achieved. A new computer system, allows the Housing Authority to generate detailed, accurate reports to monitor income levels. .*

*GOAL: Promote self-sufficiency and asset development of families and individuals.*

*The Housing Authority was awarded funds under the Resident Opportunities for Self-Sufficiency (ROSS) program. Currently in its second year this three-year program is targeted at youth ages 13-21. Through a partnership with the Human Resources Agency (HRA), the local agency responsible for Welfare-to-Work program, youth in public housing will have the opportunity to participate in youth mentoring programs, internships and work study, after-school tutoring, and career counseling. The goals of the program are to reduce truancy and dropout, increase school performance, and increase school achievement. This program is funded through early 2004.*

*The Housing Authority has also received a renewal of a Family Self-Sufficiency Coordinator grant. This staff person will work with FSS families in the Section 8 program to help them achieve their goals.*

*GOAL: Ensure Equal Opportunity in Housing for all Americans.*

*In addition to maintaining and implementing all policies and services designed to achieve this goal, the Housing Authority has received 238 Section 8 vouchers targeted towards persons with disabilities. These vouchers are administered through partnerships with nearly a dozen agencies serving persons with disabilities, to ensure that applicants and tenants receive all supportive services necessary for them to conduct a successful housing search and live independently.*

## **Attachment F: Implementation of Public Housing Resident Community Service Requirements**

HUD has suspended the Community Service requirement with the 2002 budget. The Housing Authority's policy will stay in place during the suspension but will not be implemented. The complete Community Services Policy is contained in the Public Housing Admissions and (Continued) Occupancy Policy.

The Policy requires each non-exempt adult family member residing in Public Housing to contribute eight (8) hours per month of community service, or participate in an economic self-sufficiency program, or perform eight (8) hours per month of combined activities of community service and participation in an economic self-sufficiency program. Adult family member is defined as anyone 21 years of age and older.

Exempt adults are as follows:

- a. Family member who are 62 years old or older. The Housing Authority will exempt all adults at the time of their reexamination if they will turn 62 during the twelve months following their reexamination.
  1. Family members who are blind or disabled as defined under 216(l)(1) or 1614 of the Social Security Act (42 U.S.C. 416(l)(1) and who certifies that because of this disability she or he is unable to comply with the community service requirements.
  2. Family members who are the primary care give for someone who is blind or disabled as set forth in paragraph b above.
  3. Family members engaged in work activity. Such work activity must be equivalent in hours to the community service requirement.
  4. Family members who are exempt from work activity under part A title IV of the Social Security Act or under any other State welfare program, including the welfare-to-work program.
  5. Family members receiving assistance, benefits or services under a State program funded under part A title IV of the Social Security Act or under any other State welfare program, including welfare-to-work and who are in compliance with that program.

All adults will be notified that the Community Services requirement has been suspended by HUD prior to July 1, 2001.

Community service /economic self-sufficiency activities must include performing work or duties that serve to improve the quality of life, and/or enhance resident self-sufficiency; and they must be voluntary. Tenants can work through a community volunteer agency or propose their own activities that meet the objective of the requirement. All community service proposals must be in writing and verifiable by a third party.

## **Attachment G: Pet Policy**

The complete Pet Policy is contained in the Public Housing Admissions and (Continued) Occupancy Policy.

The Housing Authority's Pet Policy was adopted by the Board of Commissioners on December 20, 2000. The Policy allows Public Housing tenants the opportunity to keep a pet in their unit.

The policy establishes application requirements; pet type, condition and size requirements; tenant responsibilities; pet deposit amounts; and penalties for violation of the rules.

All pets must be approved through a standard application process. Approvals require a lease amendment. Approved small pets such as birds, turtles, hamsters must be kept in a cage. Large pets such as dogs and cats must not exceed 25 pounds (except assistive animals), and must not be a prohibited breed due to their history of viciousness. All large animal pets must be spayed or neutered, have all their required shots, and be licensed in compliance with local ordinance.

The policy establishes rules for care of pets and prohibits pets left unattended outside the unit at any time, or inside the unit for more than 24 hours. The policy stipulates that the tenant is responsible for damages caused by their pets.

## **Attachment H: Section 8 Homeownership Capacity Statement**

The complete Section 8 Homeownership Program is contained in the Section 8 Administrative Plan.

The Housing Authority's Section 8 Homeownership Program was adopted by the Board of Commissioners on January 24, 2001. The Program's Capacity Statement embodies all three HUD basis found in HUD regulations for determining the Housing Authority's capacity to successfully operate a Section 8 Homeownership Program. They are:

1. There is a minimum down payment requirement of at least 3 percent of the purchase price. At least one percent must come from the family's personal resources.
2. Financing for purchase of a home under the Homeownership Program must comply with generally accepted private sector underwriting standards. In particular, no adjustable-rate mortgages or balloon payment will be permitted.
3. The Housing Authority has operated a First Time Homebuyer Program on behalf of local jurisdictions for over six years; has operated a Mortgage Credit Certificate (MCC) Program for over ten years; and, has developed and sold over 100 single-family homes.

## **Attachment I: Project Based Assistance Program**

In response to recent HUD regulations, the Housing Authority has chosen to implement project-based assistance in its Section 8 program. Up to 20% (up to 762 vouchers) of the Section 8 vouchers under the Housing Authority's Annual Contribution Contracts (ACC) will be made available for project-based assistance.

The Housing Authority has chosen to implement project-based assistance at this time due to the number of affordable housing projects that have been under long-term affordability restrictions but now have the opportunity to opt out. This may result in the loss of affordable housing units for the community. The Housing Authority will actively recruit landlords for the project-based program as a way of preserving affordable units.

The Housing Authority will accept applications in respond to advertisements in a newspaper of general circulation. Although no specific census tracts are targeted for project-based assistance, applicants must show that their project is located in an area of low poverty (as defined as a census tract with less than 20% poverty concentration), and/or that the project is located in close proximity to one or more of the following: employment centers, schools or colleges, public transportation, parks and recreational areas.

In selecting units for the project-based program, vacant units may be given a priority over units that are already occupied by tenants.

The Housing Authority will maintain a separate wait list for project-based assistance. A preference will be given for:

1. Tenants who already live in the unit at the time of conversion to project-based.
2. Tenants who already live in the complex where project-based units exist.

## **Attachment J: Component 3, (6) Deconcentration and Income Mixing**

The following section replaces the Component 3, (6) contained in the Agency Plan template and is presented as an Attachment as directed in Notice PIH 2001-4 (HA):

### **Component 3, (6) Deconcentration and Income Mixing**

- a. ☒ Yes ☐ No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.
- b. ☒ Yes ☐ No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]
Courtyard CA39-P072-006	12	See Below*	N/A

**\*Explanation:** As described in section C of the above referenced regulations, the Housing Authority may provide an explanation that the covered development's size, location, and/or configuration promote income deconcentration, such as scattered site or small developments.

One project, Courtyard, has an average income that exceeds 115% of the LIPH-wide average, as adjusted for number of bedrooms. The average income at this complex also exceeds the extremely low-income limit, or 30% of area median income. The Courtyard project consists of one small townhouse-style complex of just twelve units. While this complex has long-term tenants and turnover is rare, the Housing Authority does make every attempt to maintain a good mix of income ranges in this project as in all our projects. The small size of the complex does promote income deconcentration and helps the residents to better integrate themselves into the neighborhood as a whole. However, with such a small complex and very little turnover, it is sometimes possible that the average income for the project will not mirror the average income of all LIPH units. Also, given current requirements regarding the admission of extremely low income residents, it is expected at the average income at this complex will drop over time.

## **Attachment K: Voluntary Conversion Assessment**

Pursuant to HUD requirements, the Housing Authority has conducted an assessment of its public housing units to determine if conversion to tenant-based assistance is feasible. Because the Housing Authority's units are all comparable in terms of size, tenant population, condition (with some variation due to age), and number of units per complex, the Housing Authority's public housing stock was evaluated as a group as opposed to individually by development.

In conducting this analysis, the Housing Authority considered three issues as required by HUD:

1. Conversion of the development would not be more expensive than continuing to operate it (or a portion of it) as public housing.

The Housing Authority owns non-public housing units and can therefore compare the costs of operating public housing to those of operating non-public housing units. Among the Housing Authority's properties are a Section 8 unit, a tax credit project, a transitional housing project, and farmworker housing projects. The costs of operating these units are not significantly different than those associated with operating public housing units.

However, there is a significant income difference. The ability to receive Section 8 Housing Assistance Payments and Section 8 Administrative Fees would allow the Housing Authority to establish reserves for the projects and complete important modernization projects, all without the Capital Fund and Operating Subsidy income. Following is a simple, preliminary budget comparing the two scenarios:

<b>INCOME</b>	<b>Operated as LIPH</b>	<b>Operated as Section 8</b>
Rental Income (actual, includes vacancy loss)	\$1,155,716	\$0
HUD Operating Subsidy	\$110,287	\$0
Contract rents (HAP + tenant rent)	\$0	\$4,471,908
S8 Admin Fee	\$0	\$80,028
Vacancy Loss @ 5% of contract rents	\$0	-\$223,595
Interest	\$27,940	\$27,940
Other (laundry, etc.)	\$33,590	\$33,590
Capital Funds	\$500,969	\$0
<b>Total Income</b>	<b>\$1,828,502</b>	<b>\$4,389,871</b>
<b>EXPENSES</b>		
Utilities	\$161,011	\$161,011
Audit	\$3,538	\$3,538
Operations (including eligibility & inspections)	\$1,096,159	\$1,096,159
Capital Improvements	\$400,000	\$400,000
<b>Total Expenses</b>	<b>\$1,660,708</b>	<b>\$1,660,708</b>



**Net Income (Loss)\***

**\$167,794**

**\$2,729,163**

\*Net income would be used for reserves and capital improvement projects

Please note that this budget information is subject to change as HUD completes its final rulemaking on the conversion of public housing to tenant-based assistance.

2. Conversion would principally benefit residents of the public housing development to be converted and the community

The Housing Authority has determined that if the public housing developments are converted to tenant-based assistance but remain under the ownership and management of the Housing Authority, the residents would benefit from a smooth transition to tenant-based assistance and the assurance that they do not have to look for new housing in a market that has few affordable units. The community overall would benefit because the Housing Authority is already well-respected as an excellent property manager. Again, the issue of primary importance to the community is the preservation of these units as affordable housing in the long term.

3. Conversion would not adversely affect the availability of affordable housing in the community.

This condition can only be met if the Housing Authority retains ownership of the units to ensure their long-term preservation as affordable units. Santa Cruz county faces a severe housing shortage and lacks developable parcels of land. For this reason, selling the units on the open market would almost certainly result in a net loss of units and would make it difficult, if not impossible, for former public housing tenants to use their vouchers to find affordable housing.

It cannot be stated strongly enough that the recommendation to convert public housing units to Section 8 is one that must be approached with great caution and with the preservation of affordable units as the top priority. This recommendation is tentative in nature and is made prior to the final rulemaking by HUD, and is therefore subject to change as new information becomes available.